

Substitute for form 1449A/PTO

**INFORMATION  
DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

SEP 15 2001

Complete if Known

Application Number 09/879,372

Filing Date June 11, 2001

First Named Inventor R. Raymond May

Group Art Unit 2164

Examiner Name Not Yet Assigned

Attorney Docket Number 38866/235737

Sheet 1 of 3

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**U. S. PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document Number	Kind Code <sup>2</sup> (if known)	Name of Patentee or Applicant Of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages of Relevant Figures Appear
JL	1.	3,581,072		Nymeyer	05-25-1971	
JL	2.	4,674,044		Kalmus et al.	06-16-1987	
JL	3.	4,677,552		Sibley, Jr.	06-30-1987	
JL	4.	4,903,201		Wagner	02-20-1990	
JL	5.	4,953,085		Atkins	08-28-1990	
JL	6.	4,980,826		Wagner	12-25-1990	
JL	7.	5,003,473		Richards	03-26-1991	
JL	8.	5,077,665		Silverman et al.	12-31-1991	
JL	9.	5,101,353		Lupien et al.	03-31-1992	
JL	10.	5,126,936		Champion et al.	06-30-1992	
JL	11.	5,136,501		Silverman et al.	08-04-1992	
JL	12.	5,168,446		Wiseman	12-01-1992	
JL	13.	5,193,056		Boes	03-09-1993	
	14.	5,258,383		Nagamura et al.	11-02-1993	
JL	15.	5,258,908		Hartheimer et al.	11-02-1993	
JL	16.	5,270,922		Higgins	12-14-1993	
JL	17.	5,285,383		Lindsey et al.	02-08-1994	
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JL	19.	5,375,055		Togher et al.	12-20-1994	
JL	20.	5,396,552		Jahn et al.	03-07-1995	
Examiner Signature	<i>J. H. Hilt</i>				Date Considered	2/17/2004

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<sup>1</sup> Unique citation designation number.

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(Use as many sheets as necessary)</i>		Application Number	09/879,372
		Filing Date	June 11, 2001
		First Named Inventor	R. Raymond May
		Group Art Unit	2164
		Examiner Name	Not Yet Assigned
Sheet 2	Of 3	Attorney Docket Number	38866/235737

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		Number	Kind Code <sup>2</sup> (if known)			
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JL	23.	5,557,517		Daughterty, III	09-17-1996	
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JL	26.	5,802,499		Sampson et al.	09-01-1998	
JL	27.	5,819,237		Garman	10-06-1998	
JL	28.	5,845,266		Lupien et al.	12-01-1998	
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JL	30.	5,905,974		Fraser et al.	05-18-1999	
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JL	33.	5,924,083		Silverman et al.	07-13-1999	
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JL	36.	5,970,479		Shepherd	10-19-1999	
JL	37.	6,012,046		Lupien et al.	01-04-2000	
JL	38.	6,014,627		Togher et al.	01-11-2000	
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JL	40.	6,098,051		Lupien et al.	08-01-2000	
JL	41.	6,134,600		Liu	10-17-2000	

Examiner Signature	<i>[Signature]</i>	Date Considered	2/17/2006
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Sheet	3	of	3	Attorney Docket Number		38866/235737	

  

FOREIGN PATENT DOCUMENTS								
Examiner Initials	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office <sup>1</sup>	Number <sup>2</sup>	Kind Code (if known) <sup>3</sup>				
JL	42.	EP	0 399 850	A2	Reuters Limited	11-28-1990		
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JL	44.	EP	0 411 748	A2	Reuters Limited	02-06-1991		
JL	45.	WO	95 06918	A	MJT Holdings, Inc.	03-09-1995		
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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
JL	49.	JEROME YEN, HO GEUN, LEE AND TUNG BUI; <i>Intelligent Clearinghouse: Electronic Marketplace with Computer-Mediated Negotiation Supports</i> ; Proceedings of the Twenty-Ninth Hawaii International Conference on System Sciences, Proceedings of HICSS-29; 29 <sup>th</sup> Hawaii International conference on System Sciences, Wailea, HI, US, January 3-6, 1996; pages 219-2217, vol. 3; XP002097382 ISBN 0-8186-7330-3, 1996; Los Alamitos, California, IEEE Computer Soc. Press.	
Examiner Signature		<i>JL</i>	Date Considered
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<sup>1</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

<sup>2</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

<sup>3</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

<sup>4</sup> Applicant is to place an "X" here if English language Translation is attached.

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Application Number	09/879,372	RECEIVED MAY 30 2002 GROUP 000
Filing Date	June 11, 2001	
First Named Inventor	R. Raymond May	
Group Art Unit	2164	
Examiner Name	To be assigned	
Attorney Docket Number	38866/235737	

~~GROUP 3600~~

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(Revised 10/2001)

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Sheet 2 of 2

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Application Number 09/879,372  
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Attorney Docket Number 38866/235737

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**OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

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Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T
JL	4	RABATIN, Adaptive Portfolio Trading Strategies for Forex Portfolios, Journal, April 1997, Pages 1-11, Issue 4, Rabatin Investment Technology	
JL	5	HIGGENS, Managing the Risk of Your Global Bond Portfolio, Journal, April 1996, Pages 13-16, Issue 0951-3604, Global Investor	
JL	6	AVANZATO, How to Use The Collateral Carousel, Journal, January 1998, Pages 29-31, Issue 0262-6969, International Financial Law Review	
JL	7	LUDWIG, Supervision by Risk, Journal, November 1995, Pages 52-60, Issue 1062-6271, Journal of Commercial Lending	
JL	8	Derivatives Tool Merger, Report, February 19, 1996, Page 4, Volume 28, Number 4, Issue 1042-7252, Software Industry Report	
JL	9	MAGUIRE, Details on Derivatives AIG Breaks Down Exposure, Journal, June 13, 1994, Page 1, Issue 1042-7252, Number 23, The Insurance Accountant	
JL	10	TDC Symbology Guide, Article, November 2001, Pages 1-14, Track Data Corporation, Brooklyn, United States	

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